Michigan Supreme Court

Judicial Information Systems Advisory Commission (JISAC)

Final Report & Recommendations

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Executive Summary

Executive Summary

Development of statewide information technology is a key element of necessary administrative reform of the Michigan Judicial System.

"The Supreme Court will develop, implement, and maintain appropriate statewide information technology. Uniform reporting requirements will help simplify and streamline the flow of necessary information."

— Excerpt from *Justice in Michigan: A Program for Reforming the Judicial Branch of Government*, September 13, 1995, p. 7.

Problem

No statewide court information system. Michigan courts cannot communicate effectively or efficiently with the state agencies they serve because they:

- Use 41 different computer systems
- Have no judicial network
- Have no standard data elements
- Have no standard case management system functions
- Have no centralized database of court information

Solution

Development and implementation of a statewide judicial information network. Development of a statewide information network would offer:

- Enforceable minimum levels of functionality for court computer systems
- Standardized, enforceable data elements for courts and other state agencies

Background

The Michigan Supreme Court took the first step toward creating a statewide court information system by issuing data standards for required reports in November, 1997. The Judicial Information System Advisory Commission (JISAC) recommendations contained in this report are a necessary and significant further step in developing a statewide court information system.

The Judicial Information Systems Advisory Commission was formed by the Michigan Supreme Court in November, 1997, to make recommendations as to the design, implementation, and operation of a computerized information management system. Composition of the Commission was carefully considered to ensure a broad representation of the stakeholders of statewide court automation. Members represented judges, court administrators, friends of the court, prosecutors, Executive branch agencies, the Legislature and the general public. The Commission was asked to provide a report by December, 1998.

The JISAC concurred with the Court Data Standards Task Force that it was important that a statewide court information system maintain local flexibility and should support the need for standardized statewide information and inter-operability while maintaining the ability of local courts to integrate their systems with local justice system partners. Standards should be developed with broad-based input from practitioners in the courts and should maintain the integrity of vendor and local systems. (*Report of the Court Data Standards Task Force*, June 1, 1997, p. 1.) This remains an important goal given the resources invested in the number and variety of independent automation systems serving Michigan courts. The recommendations that are contained in this report adhere to that goal and build on the findings and recommendations of the Court Data Standards Task Force.

Recommendations

Recommendation 1: State Judicial Network. The SCAO should establish a statewide court communications network infrastructure for electronic exchange of data. *(See page 33)*

Recommendation 2: Court Technology Fee. The Supreme Court, Governor and Legislature should work together to create a statutory court technology fee to fund the implementation and maintenance of a network and the implementation of functional standards at the local trial court level. *(See page 34)*

Recommendation 3: Data Repository. The SCAO should create one data repository for receipt and transfer of information from courts to state agencies. *(See page 34)*

Recommendation 4: State Agency System Upgrades. State agencies that receive data from courts should upgrade their systems to be able to receive data electronically and on-line, in an interactive environment. *(See page 34)*

Recommendation 5: Data Element Standardization. The SCAO should establish a work group as part of a Management Advisory Committee representing all state agencies to address the current inconsistencies in methods of reporting information from Courts to those agencies. *(See page 34)*

Recommendation 6: Minimum Functional Standards. The SCAO should establish minimum functional standards for court automation systems in Michigan. *(See page 35)*

Recommendation 7: Certification of Court Automation Systems. The SCAO should establish a process to certify that court automation systems comply with the minimum functional standards. *(See page 35)*

Recommendation 8: Management Advisory Committee. The Supreme Court should create a policy-level advisory committee for project planning and oversight. *(See page 35)*

Introduction

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Introduction

In November of 1997, the Michigan Supreme Court created the Judicial Information Systems Advisory Commission (JISAC), to be governed by the following mission statement:

The purpose of the Commission is to make a comprehensive recommendation to the Supreme Court, and to the Legislature and the Executive branch, by December, 1998, as to the design, implementation, and operation of a computerized information management system. The information management system recommendations should address means for data on all aspects of court operation and management to be relayed among all courts in this state. The recommendations will also address compatibility with the information systems of the Department of State, Michigan State Police, Law Enforcement Information Network, Family Independence Agency, Office of Friend of the Court, Department of Management and Budget, Department of Treasury, county prosecuting attorneys, and any other agency or entity designated by the Supreme Court on recommendation of the Commission.

Specifically, the Commission was asked to make recommendations regarding:

- Information requirements of state level Executive branch agencies and the Legislature, including revenue collections;
- Minimum functional requirements for local judicial information systems;
- Architecture of the judicial information network; and
- Priorities for implementation.

There were 25 members of JISAC, with Chief Justice Conrad L. Mallet, Jr., as chairperson. Represented on the Commission were circuit judges, probate judges, district judges, the court of appeals, court administrators, friends of the court, prosecuting attorneys, county clerks, both houses of the Michigan Legislature, relevant Executive branch agencies, and the public.

The Commission was formed to continue progress on the Michigan Supreme Court's efforts to establish standards for statewide court automation that was begun with the Court Data Standards Task Force in 1997, which included representatives from state agencies and all levels of Michigan courts. The Task Force developed data standards for reports that courts are required to submit to state agencies, including the Michigan State Police, Department of State and State Court Administrative Office (SCAO). The Supreme Court ordered the SCAO to establish data standards and ordered chief judges to take necessary action to ensure that their courts' information systems comply with the data standards established by the SCAO.

The recommendations contained in this report meet all the Supreme Court's basic values:

Independent — by establishing an ongoing funding source that may reduce or eliminate political pressures that often affect funding of information systems development;

Responsive — by incorporating functional requirements that meet the needs of the courts for delivery of services;

Accountable — for public resources by eliminating redundancy and consolidating efforts;

Fair — in their treatment of citizens by promoting a uniform system;

Effective — by improving the delivery of services in a more efficient and cost-effective manner; and

Accessible — by establishing a statewide judicial network and the means to collect and compile data that will be available to the Michigan Supreme Court, the Executive branch and the Legislative branch for use in formulating public policy; and also to courts, the bar, the general public and other stakeholders.

Work of the JISAC

The Commission first convened in December, 1997. The Commission formed four work groups to address the four specific mission objectives. The work groups focused on:

1. State Agency Information Needs
2. Minimum Court Information System Functionality
3. Network Architecture
4. Funding and Implementation

Work Group 1: State Agency Information Needs

The objectives were to: identify state agency information needs; identify the limitations to change or implement new reporting requirements; and identify alternatives for overcoming reporting limitations.

Work Group 2: Minimum Functionality

The objective was to determine minimum functions for trial court automation systems. The group used the current Judicial Information Systems (JIS) program functions as the baseline and added functions it determined to be necessary for a statewide system. Functions were described in four categories: required — current required reports; mandatory — functions that should be mandatory in the future; desirable — functions the group desired, but were not necessary; and visionary — functions that would be included in an ideal world.

Work Group 3: Network Architecture

The objective was to design a statewide network to allow all courts to communicate with each other and with the state agencies to which they supply information. A minimal survey was conducted for all trial courts to determine current automation status, connectivity to other justice agencies within its community, and network support capabilities. A network capacity model was developed to determine both required network capacity and to provide input into a preliminary network budget.

Work Group 4: Funding and Implementation

This group had the benefit of the reports of the other work groups. Its objectives were to identify and allocate costs, determine availability of funding and develop implementation strategies.

At its November 1998 meeting, the Commission as a whole reviewed the recommendations of each work group and reached consensus on the recommendations described here and approved this report for submission to the Supreme Court. *(To request a copy of the Work Group Reports, contact the State Court Administrative Office.)*

Problem

Michigan's courts are unable to communicate effectively or efficiently with the state agencies they serve.

There is currently no standardized, coordinated, cost-effective process to report and access court data on a statewide basis. There are 41 different computer systems for the 241 trial courts, operating in 318 locations. The 41 systems include private vendor systems, SCAO-developed systems, and a variety of systems developed internally by the courts or their funding units.

The trial courts report a minimum of 500 data elements to at least nine state agencies, some electronically and some by paper. While 280 court locations are automated, only 191 (68%) currently report or have the capability to electronically report some of those data elements. In addition, there are 38 court locations that have no case management software and are essentially manual courts. The complicated, inefficient and redundant nature of the current reporting scenario is illustrated in Figure 1 (see Appendix B).

(**NOTE:** While there are 241 trial courts, some are multi-county, and have two or more locations. Frequently, those separate locations operate independent information systems.)

The Michigan Supreme Court has taken the first steps toward the creation of a statewide court information system by issuing data standards for required reports in November 1997. Implementation of those standard data elements will simplify the reporting of data from courts to state agencies. The State Agency Information Needs work group of the JISAC determined that the ability of state agencies to receive data electronically and on-line is a **critical requirement** for a statewide court information system.

Standards for court automation system functionality have been developed by the Minimum Functionality work group. Once approved by the Supreme Court and implemented, those standards will provide minimum requirements for court system software throughout the state, even though the software may be developed and supported by multiple vendors and providers. The standards are designed for maximum local flexibility for additional system features, functions and integration.

The standard system functions are grouped into eight categories:

1. Case Management
2. Financial Management
3. System Functions
4. Collections
5. Budgeting
6. System Integration
7. Probation
8. Statewide System Functions

Creation of a judicial network is the key link in establishing a statewide court information system. The Network Architecture work group, with the assistance of a certified network engineer, determined the hardware and software requirements for a statewide judicial network that would link all courts.

Purpose

The goals of a statewide automated court information system are to:

1. improve public safety, standardize judicial management information, increase access to court data and make better use of public resources;
2. provide timely, accurate and cost-effective reporting of court data to the Michigan judiciary, the Legislature and Executive branch agencies;
3. create a judicial management information database to support planning and decision-making by the Supreme Court, the Department of Management and Budget, the Legislature and Executive branch agencies; and
4. provide the basis for future global access to court data.

To accomplish these goals, the following are necessary:

- development and implementation of a statewide judicial network;
- enforceable minimum levels of functionality for court computer systems; and
- standardized enforceable data elements for courts and other state agencies, which will promote uniformity in the development of court information systems and improve the integrity and accuracy of data.

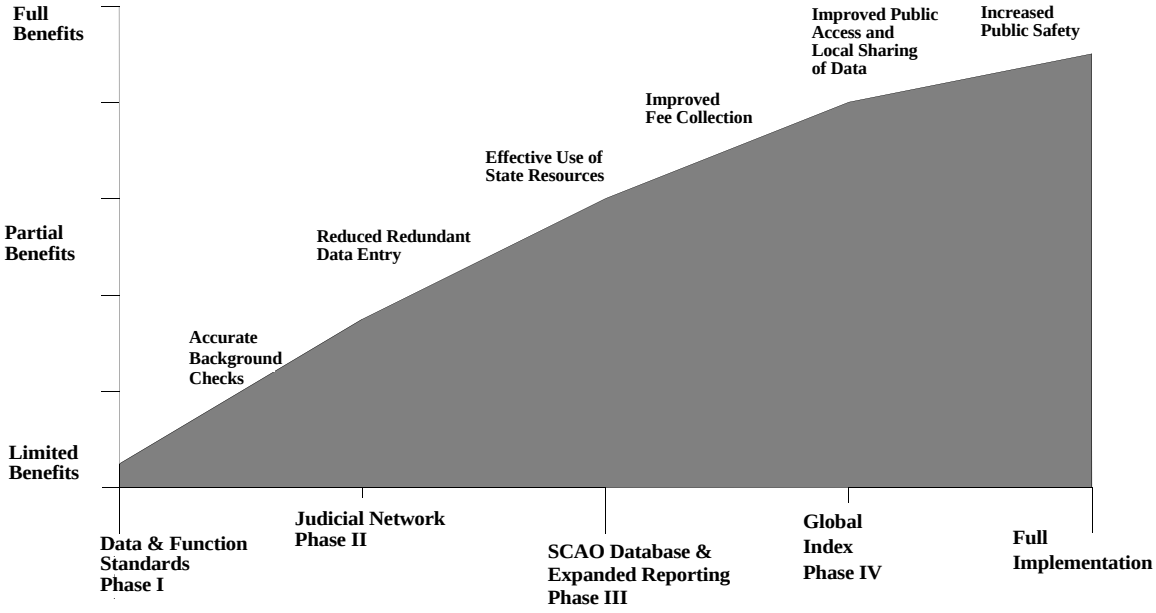
Benefits

Faster delivery of more accurate court information leads to improved public safety.

Creation of a standardized, coordinated, cost efficient process to report and access court data will significantly improve public safety for Michigan's citizens.

- The prompt submission of accurate information about offenders gathered by the trial courts ***increases public safety*** by providing timely information for police officers, prosecutors, probation personnel and courts to make decisions about arrests, charging, bond, release and sentencing. Offender information would include criminal history, outstanding charges, history of domestic or other violence, substance abuse, weapons use, and a variety of other background factors of importance to criminal justice agencies.
- Establishing electronic connections among the various court computer systems and other members of the criminal justice community will ***improve the collection and distribution of information statewide***. Improved access to statewide justice system information will allow the judiciary, Legislature and Executive branch agencies to make more informed public policy, management and business decisions. It will also allow more effective use of state resources.
- Standardization of data elements, simplification of data exchange mechanisms, and increased coordination among state agencies will ***reduce redundant data entry and reporting*** of the same information in different formats to different agencies, ***improve data integrity and reliability***, and ***increase productivity*** for courts and other government agencies.
- Establishing connectivity between the various computer systems will support coordinated systems development and ***more effective use of state resources***.
- A statewide judicial information network will ***improve collection of court-ordered payments.***
- A statewide judicial information network will ***facilitate data sharing*** at the local level between courts and other justice system agencies.
- Eventual global access to statewide court information ***will improve public access*** to court information and allow easier access to data for use by businesses and other organizations.
- A statewide court information network will result in ***increased accountability*** of the justice system.

Benefits of Statewide Automation



Stakeholders

Virtually all of state government as well as the public and numerous private interests will be stakeholders.

Information gathered and generated by Michigan's courts is important to a wide variety of organizational and individual interests and needs throughout the state. These stakeholders include agencies from all branches of state and local government, and a variety of private interests. All citizens benefit from increased public safety that results when justice agencies share information.

Executive Branch Stakeholders

A continuous flow of judicial system data is distributed to various state **Executive** agencies. These agencies are required by statute to collect and maintain court information as part of their databases. Primary examples include the Michigan State Police and Department of State. Other Executive branch agencies utilize court information to make decisions regarding services to clients. In addition, monthly collection information is transmitted by the courts as part of the distribution of fines, costs, and fees.

Executive branch stakeholders include:

- Governor's Office
- Michigan State Police
- Department of State
- Department of Corrections
- Department of Natural Resources
- Family Independence Agency
- Department of Treasury
- Department of Management & Budget
- Department of Consumer and Industry Services
- Department of Community Mental Health
- Department of Transportation
- Attorney General

Legislative Branch Stakeholders

The **legislative** process depends on reliable and current information to support the development and evaluation of public policy, appropriation decisions and drafting of legislation. Although aggregate data regarding trial court caseload exists, obtaining enough detailed information to perform accurate comparisons, such as the number of conservators for children as compared to adults, is difficult to obtain.

Legislative branch stakeholders include:

- Legislators & Legislative Staff
- Legislative Fiscal Agencies
- Auditor General

Judicial Branch Stakeholders

The **Judiciary** itself is also a major stakeholder. At the state level, the State Court Administrative Office and Supreme Court rely on trial court data for planning, policy development and resource allocation. Case information from trial courts, particularly criminal and serious traffic offenses, is important to the decision-making in other trial courts.

Judicial branch stakeholders include:

- Supreme Court
- State Court Administrative Office
- Court of Appeals
- Trial Courts

Local Government Stakeholders

County, municipal, and township governments have considerable interaction with the courts and rely on court data for a number of purposes. Local prosecutors, corrections, and law enforcement agencies need disposition and scheduling information in order to efficiently carry out their responsibilities. Statewide information is vital to decisions regarding prosecution, pre-trial custody, and similar decisions that impact public safety. Local legislative bodies also rely on court information for planning and funding.

Local government stakeholders include:

- Prosecutors
- Law enforcement agencies
- City and municipal attorneys
- Community corrections
- County clerks
- Local treasurers
- Local public health departments
- City and county governing boards

General Public Stakeholders

The general public interacts with the courts in numerous ways and access to court information is important to members of the public.

General public stakeholders include:

- General public
- Victims
- Litigants
- Witnesses
- Jurors

Other Stakeholders

An increasing number of requests for public information come from individuals, organizations and commercial enterprises seeking court information for business purposes.

These and other stakeholders include:

- Media
- Advocacy groups
- Attorneys
- State and local bar associations
- Credit reporting agencies
- Military recruiters
- Employers
- Private investigators
- Universities
- Car rental companies
- Insurance companies

Project Scope

Phase I — Data and Functionality Standards

Phase II — Develop Statewide Network Infrastructure

Phase III — Information Database and Expanded Reporting

Phase IV — Global Access

Project Scope

A phased approach is seen as the best way to develop improvements to the current system, beginning with the identification of data and functionality standards, followed by the development of the statewide network infrastructure, creation of an information database with expanded electronic reporting, and finally, a central index. The benefits to stakeholders accrue as the project develops through these phases. Illustrations of current reporting processes are included as "*Examples*."

Phase I — Data and Functionality Standards

The identification of data and functionality standards for court information systems is the foundation upon which the statewide court automation system is built. The creation of data standards and minimum functionality provides uniformity in the development of court information systems, improving the integrity and accuracy of data, and forms an essential foundation for integration of individual judicial systems.

These standards are essential to the eventual provision of statewide access to court information. Data standards address those data elements necessary to submit required reports to state agencies. Functionality standards include functions that court systems must provide in order to meet minimum trial court needs and to achieve a level of uniformity across multiple software platforms. Data standards were developed in 1997 by the Court Data Standards Task Force and are to be implemented by December, 1999. Functionality standards were developed by the Functionality work group of JISAC and are included as an addendum to this report.

Phase II — Develop Statewide Network Infrastructure

The establishment of a statewide court communications network infrastructure for electronic exchange of data greatly simplifies the flow of information, makes data exchange timely and cost-effective, and improves data accuracy. This phase of the project will streamline a process that is currently fragmented and inconsistent. The initial **focus** is on the high volume transactions occurring between the courts and the **Michigan State Police and Department of State**. These agencies will realize the **immediate benefits** of increased accuracy and timeliness of data exchange. Electronic data transfer will eliminate the redundant data entry processes currently in use, and thereby increase efficiency.

The network includes four components:

- **Hardware:** servers, routers, modems, wiring, etc. These are one-time costs.
- **Software:** extract programs and communications protocols. These are one-time costs.
- **Implementation:** installation and testing. These are one-time costs.
- **Ongoing maintenance and support:** Network support services are likely to be provided by a third party network service provider. Some operations staff will be necessary at the SCAO. Maintenance of the network is a continuing cost that should be funded by the state.

Figure 2 illustrates one possible network design (see Appendix B). The SCAO should work with the Department of Management and Budget (DMB) to establish a judicial network that maximizes the existing state network infrastructure and achieves cost savings by leveraging state network expenditures. Any network design and operational structure must assure that judicial information is secure and is managed by the judiciary.

Example:

The reporting of felony and serious misdemeanor dispositions is primarily a manual (paper) process. Many court clerks still type dispositions on the required forms that are mailed periodically to the Michigan State Police. This information is in turn typed into the State Police database. Incomplete records are returned by mail for re-typing or correction by the courts. This process substantially delays the reporting of criminal convictions — information that police, prosecutors and judges rely on to make decisions that impact public safety. Electronic transmission of this data would mean virtually immediate and automatic updating of the State Police database upon entry of the information to the trial court information system, reducing the potential for data entry errors, and decreasing information transfer time from days and weeks to minutes.

Global benefits are realized by other justice system stakeholders. The prompt entry of criminal and traffic disposition data, warrants and personal protection orders, is a significant public safety issue. Criminal justice agencies, including the trial courts, prosecution, probation, law enforcement, and corrections, all rely on the timeliness, completeness and quality of such data for decision-making in individual cases. Likewise, public consumers of criminal and driving record information enhance their decision-making when the data they need is immediately available and accurate.

Example:

A circuit court judge issues a personal protection order with immediate effect. The order is hand-delivered to the Sheriff's Department, where the communications staff deposit the order with warrants and other items to be entered on the Law Enforcement Information Network (LEIN) when they have time. The order may not be entered for days. Without the order on LEIN, law enforcement officers may not be able to immediately enforce the order to prevent possible violence. Electronic entry by the court would ensure almost immediate entry into the LEIN system.

The network infrastructure completes the first level of state court information architecture. The network provides the physical links and technology to support expanded participation by state and local agencies proposed in Phase III.

Phase III — Information Database and Expanded Reporting

During this phase a more comprehensive judicial information database will be implemented by the Supreme Court. Case reporting will be extended to additional Executive branch stakeholders, through the Department of Management and Budget data warehouse.

The Department of Natural Resources (DNR), Family Independence Agency, and the Department of Consumer and Industry Services currently receive court data as a result of various reporting mandates. Other reporting functions, such as the transfer of overdue accounts to Treasury, would promote greater participation in the Treasury collections program and potentially enhance revenue collection. These and other agencies have periodic need for judicial information. These needs will be addressed by expansion of direct reporting or the delivery of key case data to a data warehouse.

Example:

DNR officers must obtain disposition information on cases they file with the court. This requires the officer to personally seek the information from court case files and transcribe the information for entry on the DNR database. In Phase III this information could automatically be transferred to the DNR by the court upon disposition, without the intervention of court staff or additional effort by the issuing officer.

In addition to expanding participation in automated data exchange, Phase III includes the development of a judicial information database. The information in this database will support planning and decision-making by the Supreme Court, Legislature and Executive branch agencies.

Example:

Current court disposition reporting is not at a level of detail that allows for easy evaluation of the impact of legislation. For instance, the impact of new domestic violence legislation on conviction rates for domestic violence offenses is difficult, if not impossible, to measure on a state-wide basis. The creation of a state-wide judicial database could provide more detailed disposition information on these types of criminal offenses than is currently available, and thereby aid in the development and evaluation of public policy.

Figure 3 illustrates how the data exchange process is streamlined in Phase III (see Appendix B).

Phase IV — Global Access

The final phase of the statewide court automation system will create a central index, maintained by the SCAO, which will allow access to case information for all courts and supplementing possible public access to a central data warehouse containing general information. Currently, individuals or agencies wanting case-specific information must contact each court separately. This new central index will contain summary case information transmitted at the time of filing and over the life of the case whenever significant events occur. Scheduling information may also be available. Security measures will control access to statutory non-public cases.

This central index will be a substantial leap forward in terms of access to the courts, particularly for members of the general public, employers, military recruiters, credit agencies, others who rely on court information, and for other courts, prosecutors and law enforcement agencies. Figure 4 shows the culmination of the four phases of the project (see Appendix B).

Example:

Credit agencies seeking case information from the courts must send staff to each court to look up dispositional data in case files or local computer records. The process is time-consuming for both the collection agency and court staff. A central index and database would greatly simplify the process by providing one point of inquiry.

Court-to-court information exchange is also vital to decision-making by the courts.

Example:

A criminal defendant appears before the district court on a spouse abuse charge and requests a deferred sentence, representing that he has no prior criminal convictions and that he has not previously received the benefit of a deferred sentence. A probation officer's verification of the defendant's criminal record through the Michigan State Police shows no prior felony or serious misdemeanor convictions. However, the defendant has a prior conviction for assault under a local ordinance, which does not appear on the defendant's record. Without the knowledge of the misdemeanor record, the court places the defendant on deferred sentence resulting in eventual dismissal of the charge. The existence of a statewide index and database would have given the probation officer the means to compile a more comprehensive criminal history on the defendant than is currently available. Additional information might have revealed that the defendant was ineligible for a deferred sentence.

Costs

Funding Sources

Possible Revenues

Costs

In order for a statewide information network to be viable, all courts will be required to meet the data standards, minimum functionality and connectivity prerequisites. Funding will be needed for development and implementation at the local level to implement the standards, functionality and connectivity requirements.

Only the costs for implementation of Phases I and II can be accurately estimated at this time. Costs for Phases III and IV cannot be determined with precision until detailed solutions have been identified and there has been a comprehensive review of implementation, maintenance and resource requirements; however, estimated costs are shown. Statewide Court Automation Costs are identified as one-time or ongoing-annual. The availability of grant funds for each component is also identified. Cost items relating to the judicial network may vary according to the network design that is ultimately implemented.

Annual Local Life-Cycle Costs for purchase of office automation hardware and software, and to support case management systems are currently paid for with expenditures by local funding units, typically at levels that do not allow for upgrades within reasonable hardware and software life-cycles. This proposal would transfer some of these costs currently paid by the local funding units to JISAC. Ongoing technical support would continue to be provided by the local court or its funding unit. The estimated $15,750,000 annual cost is approximately 2.6% of the annual total statewide court expenditures of more than $600,000,000.

Statewide Court Automation Costs

Component	Description	Cost
Trial Court Enhancements — Data Standards (Phase I)	Data standards were issued by SCAO in 1997 and have an implementation deadline of December, 1999.	$0
Site Readiness Survey (Phase II)	This amount would pay for a network consulting firm to conduct a survey of all 224 Michigan trial court sites, to determine: existing and required network connectivity, local security needs, connectivity to other local courts and justice agencies, local networking expertise, current and future automation level, staff networking expertise, required network connectivity to facilitate appropriate points of presence, and cabling schematics to accommodate a wide variety of historical buildings. 2,240 hours to conduct site surveys at 224 court sites statewide and to prepare a written report, @ $145 per hour. *New funding — one time cost.*	$325,000
Local Network Upgrades (Phase II)	This amount would fund the installation of local networking software and hardware to allow local courts to connect to the Judicial Network over which criminal dispositions will be submitted to the Court Information Distribution Center (CIDC). The four Profiles represent differing levels of local network infrastructure and court case management systems and are described in greater detail in Appendix A. **Profiles**: High Automation / High Connectivity 10 courts @ $10,150 each $101,500 High Automation / Some Connectivity 5 courts @ $51,750 each 258,750 Some Automation / No Connectivity 89 courts @ $18,850 each 1,677,650 No Automation 10 courts @ $4,750 each 47,500 *New funding — one time cost*	$2,085,400
Judicial Network Connectivity Equipment (Phase II)	This amount will purchase routers and other communications equipment that will be the backbone of the Judicial Network. Purchase of this equipment rather than leasing will result in an overall payoff in approximately 21 months. *Some grant funding — one time cost.*	$470,000
Judicial Network Leased Data Communications (Phase II)	This amount will pay the annual network service costs. *New funding — ongoing annual cost*	$625,000
Judicial Network Managed Services (Phase II)	This amount will pay the annual expense for the "turn-key" Managed Services. *New funding — ongoing annual cost*	$70,000
Judicial Network Staffing (annual) (Phase II)	This amount provides funding for the staffing that is required at SCAO/JIS to support the Judicial Network. It includes salary and fringe benefits for 1 manager and 3 technical services positions. This staffing would be required regardless of who supplies the network. *New funding — ongoing annual cost*	$250,000

Statewide Court Automation Costs (continued)

Component	Description	Cost
CIDC Development (Phase II)	This amount is for development of programs that will operate the CIDC. Some grant funding may be available for this cost. A private software firm will be identified for contract through a bid process. *Some grant funding — one time cost*	$525,000
CIDC Implementation (Phase II)	This amount will provide funding to the local courts and the court system providers to modify or create extract software that will transmit data to the CIDC. Some grant funding may be available for this cost. *Some grant funding — one time cost*	$1,608,000
Requirements Analysis (Phase II)	This amount would pay for a requirements analysis for development of the Phase III and IV components, SCAO Database, Expanded Reporting and Global Judicial Index/Warehouse Data. *Estimated new funding — one time cost*	$500,000 (Estimate)
Trial Court Enhancements — Functionality Standards (Phase III)	This amount would pay for one-time only enhancements on the 41 different computer systems at the 242 trial court locations. Changes to incorporate the functionality standards will be required. Stages of this component include 1) development of functional standards (complete), 2) implementation, and 3) training for court staff. *Estimated new funding — one time cost*	$3,000,000 (Estimate)
SCAO Database (Phase III)	This amount will pay for development of a SCAO judicial information database. The information in this database will support planning and decision-making by the Supreme Court, Executive Branch agencies, Legislators and their staff. (See Figure 3.) *Estimated new funding — one time cost*	$5,000,000 (Estimate)
Expanded Reporting (Phase III)	This amount will pay for extending the electronic reporting capability to additional Executive branch stakeholders, including the Department of Natural Resources, Family Independence Agency, and Consumer and Industry Services. Stages of this component include 1) development of extract software, and 2) enhancements to the CIDC. (See Figure 3.) *Estimated new funding — one time cost.*	$4,000,000 (Estimate)
Global Judicial Index (Phase IV)	This amount will pay for the creation of a central index, developed by the SCAO, and the storage of summary information in a data warehouse that will allow access to case information for all courts. (See Figure 4.) *Estimated new funding — one time cost*	$2,500,000 (Estimate)

Annual Local Life-Cycle Costs

*(**NOTE:** Costs are allocated for the specific costs identified here. There are other ongoing costs for office automation support and network support that are not included here.)*

Office Automation Hardware and Software	This amount will pay to upgrade office automation hardware and software on a three-year replacement cycle. 8,250 users Per user annual cost: $700 Hardware $200 Software *Estimated new funding — ongoing annual cost*	$7,500,000 (Estimate)
Case Management Software Upgrade and Maintenance	This amount will pay to maintain and upgrade case management software. 8,250 users Per user annual cost: $1,000 *Estimated new funding — ongoing annual cost*	$8,250,000 (Estimate)

Funding Sources

While some grant funding is available for specific projects, funding the four phases of this project will require a new and significant source of funding. The various sources of funding are explained below. The creation of a "Court Automation Fund" is a recommended alternative.

Grant Funds

Grant funds from two federal agencies have paid for the design of the Court Information Distribution Center (CIDC) and will be used to develop the CIDC software and to pay court automation providers and vendors to develop standard extract software that will send standardized data packets to the CIDC. The National Highway Traffic Safety Administration (NHTSA) will provide approximately $345,000 in drunk driving-focused funds over three years, starting in 1996. The Criminal Records Improvement Task Force's 1999 National Criminal History Improvement Program (NCHIP) application included requests for funding the Local Network Upgrades for $2,085,400 and purchase of the Judicial Network Equipment for $468,811. Michigan's total request was approximately $4,300,000. However, Michigan has been told it will likely receive only $1,270,000, so the likelihood of both of these projects receiving funding is questionable. While there may be some funding for these two components, NCHIP cannot be relied upon for full funding. New funding initiatives may be announced by the U.S. Department of Justice and may be a source of additional funds for this project.

State General Funds

State general funds are an obvious potential source of funding. However, state general funds for projects of this kind have historically been difficult to obtain and to sustain. The annual appropriation process makes it difficult to establish an assured and continual funding source to maintain the systems in order to ensure reliability and currency.

Local Funding Unit General Funds

This is the traditional source of funding for *local trial court automation expenditures*. Local funding resulted in inconsistent funding levels and the proliferation of non-standard automation systems. Use of local funding unit general funds for this project is speculative at best and impossible at worst. It is unlikely that local funds can be used to provide funding for network implementation and maintenance, or for state data reporting, indexing and data storage/warehousing functions.

Court Automation Fund

A number of states have imposed statutory technology fees for deposit in a Court Automation Fund to be used for court technology and automation projects. This type of fee would establish a guaranteed funding source removed from the forces that make the appropriation of funds at both the state and local level uncertain. Examples of fees enacted by other states include: levies on traffic tickets, surcharges on filing fees, fees to be paid by each party in civil cases at the filing of the initial pleading, special assessments on criminal convictions, and combinations of these fees.

Possible Revenues

The following table illustrates the potential funding that could be generated by various fees, based on the SCAO estimates. Civil actions are shown with $5 and $10 options. The totals reflect the revenues that would be available under both options.

Possible Revenues

	Technology Fee	Funding Available Year 1	Funding Available Year 2	Funding Available Year 3 (and each year after)
Circuit/Probate				
Comm. of actions/Civil Filings/Appeal Filings	$5	$600,000	$600,000	$600,000
	$10	$1,200,000	$1,200,000	$1,200,000
Guardianships	$5	$100,000	$100,000	$100,000
	$10	$200,000	$200,000	$200,000
District				
Civil and Summary Filings	$5	$1,600,000	$1,600,000	$1,600,000
	$10	$3,200,000	$3,200,000	$3,200,000
Small Claims	$5	$500,000	$500,000	$500,000
	$10	$1,000,000	$1,000,000	$1,000,000
Misdemeanor	$5	$1,500,000	$2,700,000	$3,300,000
Civil Infraction	$5	$6,400,000	$8,000,000	$8,300,000
Parking	$5	$1,400,000	$1,700,000	$1,800,000
TOTALS	$5	$12,100,000	$15,200,000	$16,200,000
	$5/$10	$14,900,000	$18,000,000	$19,000,000

Project Timeline

Project & System Management

State Agency System Functionality & System Changes

Project Timeline

The following is an estimated timeline of the major components for this project. A detailed task-oriented project plan and timeline will be used during the project.

JISAC Project Timeline

		Year 1				Year 2				Year 3				Year 4				Year 5			
Phase/Component	**# Mos.**	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
I. Trial Court Enhancements	36	■	■	■	■	■	■	■	■	■	■	■	■								
II. Site Readiness Survey	9	■	■	■																	
Local Network Upgrades	12		■	■	■	■															
Network Implementation	12				■	■	■	■													
CIDC Development	12	■	■	■	■																
CIDC Implementation	18			■	■	■	■	■	■												
Requirements Analysis	12			■	■	■	■														
III. Expanded Reporting	36							■	■	■	■	■	■	■	■	■	■	■	■		
SCAO Judicial Database*	48	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■				
IV. Global Judicial Index	12																	■	■	■	■

* ***(NOTE:** The SCAO Judicial Database will be developed over the course of this project, in conjunction with other internal SCAO database development.)*

Project & System Management

The planning, implementation and maintenance of a statewide information system will require a high level of coordination and cooperation between participating agencies. To facilitate this process, the active participation of system stakeholders is essential. Among the important issues that must be addressed are system design and specifications, vendor and product selection, communication, funding, decisions regarding system upgrades and functionality, and user input. At a minimum, a *management advisory committee* and a *users group* should be established. The responsibilities and composition of these decision-making bodies is discussed in more detail below.

Management Advisory Committee

The creation of a policy-level committee for project planning and oversight should be an immediate objective. It is recommended that the ***management advisory committee*** would have the following responsibilities that would result in recommendations to the Supreme Court in the following areas:

1. Long-range planning
2. Funding allocation
3. Decisions regarding system design, vendor and product selection
4. Data standards and functionality enforcement
5. System performance assessment and evaluation
6. Privacy and public access policy development
7. Communication with stakeholder agencies
8. System upgrade and enhancement implementation priorities

Membership of the group should include:

- A representative of the Supreme Court, acting as chair
- Trial court representative(s), including judges, court administrators and county clerks
- Appeals court representative(s)
- Representatives from key Executive branch agencies, including the state Chief Information Officer
- Liaison from related information system planning groups, such as Criminal Record Improvement Task Force and CJIS Policy Council
- Liaison from Legislative branch
- Local government representative(s)

The *management advisory committee* could appoint subcommittees to address specific issues and bring in additional expertise. Examples include groups that are convened to address product acquisition and vendor selection, data standards, policy development, etc. In addition, the committee should consider appointing ex-officio members to assist with its tasks. These might include individuals with expertise in finance, planning, purchasing or network design. The JIS director or individual designated to manage the system should also be included as an ex-officio member. The *management advisory committee* should be convened as soon as project funding is approved.

Users Group

A *users group* provides a process by which information system stakeholders can provide input and resolve issues relating to system operation and development. The scope of this committee includes:

1. Identification of future needs
2. Communication with system user agencies
3. Complaints and system problem resolution
4. Development of recommendations to the advisory committee for system upgrades and enhancements

The ***users group*** should be established prior to system implementation to involve those agencies that will immediately be impacted in Phase II. Initial composition of the group should include:

- Representatives from trial and appellate courts
- Executive branch agency representatives
- Liaison with Legislative branch
- Representatives of local government trial court system stakeholders
- SCAO program staff

The users group will be staffed by SCAO-JIS technical staff. Trial court representatives could include a cross-section of court types, regions, or represent various system user groups. The composition of the group will change as the scope of the judicial information system expands. Additional Executive branch agency participants will be added in Phase III, and public members may be added as the project reaches Phase IV. It may be necessary for several of these groups to be established as the project grows to allow stakeholder representatives with common issues to meet and prevent the process from becoming too unwieldy. These groups could be organized by stakeholder groups with common interests, or on a regional basis.

State Agency System Functionality & System Changes

A key to development of a statewide court automation system will be the extent to which the computer systems for receiving agencies at the state level can both receive and transmit information electronically in an on-line environment. The current status of those systems is mixed.

Michigan State Police

The Michigan State Police, by virtue of its LEIN connectivity, has the infrastructure to send and receive data electronically and on-line. Some, but not all, courts with a LEIN connection submit case dispositions to the Criminal Records Division (CRD) for criminal history records. All JIS circuit courts are submitting dispositions electronically through the JIS-Southfield AS/400 LEIN connection.

Department of State

The Department of State (DOS) has statutory responsibility for maintaining driver and vehicle records and currently operates in a primarily batch environment that receives data submissions on tape. The only electronic option for sending abstracts of conviction to the DOS is by tape. However, one district court system provider is allowed to send information on-line, which is then loaded onto a tape for batch processing with all other abstracts. Once a week, the data on the tapes is downloaded to the DOS system and then processed in a batch format. The driving record is updated first and then a series of other required functions are performed in sequence resulting in warning letters, license actions, and more.

The current batch tape process delays updating the driving record, creates problems in tape formats and handling, and generally is a less efficient means of processing data. The consultant hired to design the Court Information Distribution Center (CIDC) has indicated that the current tape update process is an impediment to timely, accurate updates to driving records. The DOS has indicated it will work with the Department of Management and Budget to replace the current batch tape process.

Conclusion & Recommendations

Conclusion & Recommendations

The Judicial Information Systems Advisory Commission (JISAC) was formed to make a detailed recommendation to the Supreme Court, and to the Legislature and the Executive branch, by December, 1998, as to the design, implementation, and operation of a computerized information management system.

Work groups were formed to address the four specific mission objectives. The work groups focused on: (1) State Agency Information Needs; (2) Minimum Court Information System Functionality; (3) Network Architecture; and (4) Funding and Implementation.

The recommendations of this Commission include the establishment of a state judicial network allowing transfer of data among courts and state agencies, creation of a court technology fee, and formation of an ongoing management/advisory committee to oversee implementation of statewide court automation in Michigan.

The Commission has completed its responsibility with the issuance of this report. The work and recommendations of the Commission should be considered part of the process of defining and establishing standards for statewide court automation.

Recommendation 1: State Judicial Network

The SCAO should establish a statewide court communications network infrastructure for electronic exchange of data. The establishment of a statewide court communications network infrastructure for electronic exchange of data greatly simplifies the flow of information, makes data exchange timely and cost-effective, and improves data accuracy. This phase of the project will streamline a process that is currently fragmented and inconsistent. Electronic data transfer will eliminate the redundant data entry processes currently in use, and thereby increase efficiency. The cost of data handling will eventually be reduced for state agencies.

The network should have the following functions:

Initial Functions:

1. Electronic transfer of trial court data to state agencies
2. Trial court access to LEIN
3. Trial court access to Secretary of State
4. Trial court access to Judicial E-mail System
5. Trial court access to the Internet

Future Functions:

1. Supreme Court data warehouse
2. Public access to trial court data
3. Standardized electronic filing

Recommendation 2: Court Technology Fee

The Supreme Court, Governor and Legislature should work together to create a statutory court technology fee to fund the implementation and maintenance of a network and the implementation of functional standards at the local trial court level. A statutory court technology fee should be created for deposit in a Court Automation Fund to be used for court technology and automation projects. Earmarked funds will be available at both the state and local level to implement the components of statewide automation included in this report. The fee will also establish an ongoing source of funding to support and upgrade the system to accommodate new technology, functions and statutory requirements.

Recommendation 3: Data Repository

The SCAO should create one data repository for receipt and transfer of information from courts to state agencies. The repository should include technology that implements the Court Information Distribution Center (CIDC) "message switch" system rather than an actual repository of state information. This solution is an enhancement to the method of data accumulation and forwarding to state systems that is currently provided by the Judicial Information Systems (JIS) at its Southfield operations center.

Recommendation 4: State Agency System Upgrades

State agencies that exchange data with courts should upgrade their systems to be able to exchange data electronically. While the Michigan State Police LEIN and Criminal History Records systems currently meet this standard, other agencies such as Department of State, Department of Treasury and Department of Corrections do not. This ability to receive data electronically is essential to establishing an effective process for acquiring complete, accurate and timely information. This proposal does not provide any funding for state agency upgrades.

Recommendation 5: Data Element Standardization

The SCAO should establish a work group as part of a management advisory committee representing all state agencies and the courts to address the current inconsistencies in methods of reporting information from courts to those agencies. The data standards issued by the SCAO in 1997 contained some data element conflicts that must be resolved through discussion and negotiation among the various state agencies and the SCAO.

Recommendation 6: Minimum Functional Standards

The SCAO should establish minimum functional standards for court automation systems in Michigan. Work Group 2, comprised of representatives of courts, state agencies and the SCAO, using functionality documents for the current JIS systems as a starting point, identified minimum functional standards for court automation systems in the following categories:

1. Statewide System Functions
2. System Functions
3. Case Management Functions
4. Financial Management Functions
5. Collections Functions
6. Budgeting Functions
7. System Integration Functions
8. Probation Functions

Recommendation 7: Certification of Court Automation Systems

The SCAO should establish a process to certify that court automation systems comply with the minimum functional standards. The certification process will need to allow a reasonable period of time for local systems to make modifications to create or modify missing functionality. The SCAO will establish an ongoing process to modify or add functions to the standards to incorporate new technology or statutory requirements. The minimum functional standards should not preclude courts from developing and providing additional functions that local courts determine are necessary to meet local needs.

Recommendation 8: Management Advisory Committee

The Supreme Court should create a policy-level advisory committee for project planning and oversight. The committee would make recommendations to the Supreme Court in the following areas of responsibilities: long-range planning; funding allocation; decisions regarding system design, vendor and product selection; data standards and functionality enforcement; system performance assessment and evaluation; privacy and public access policy development; communication with stakeholder agencies; and, system upgrade and enhancement implementation priorities.

Appendices

A — Local Network Upgrade Profiles

B — Figures

Appendix A — Local Network Upgrade Profiles

Profile	Significant Characteristics	Upgrades
High Automation/ High Connectivity	Court is connected to an existing network infrastructure that uses Ethernet or Token Ring, and may have Internet connectivity. Court has a functional case management system that either operates on the funding unit's computer or on its own computer that is connected to the existing network.	Court will receive cabling to the network border router, support for or adjustment of existing network/internet protocols, and security equipment between the internal network and the network router.
High Automation/ Some Connectivity	Court has its own computer system that provides a functional case management system but does not use the correct network/ internet protocols.	Court will receive cabling to the network border router, hardware to connect to the network, software to support the correct network/ internet protocols, and contractual services for integration assistance.
Some Automation/ No Connectivity	No connectivity infrastructure. No clearly identifiable connection point. Case management processing capability exists as islands of automation.	Court will receive cabling to the network border router, cabling for a court network linking the processing systems, networking equipment, and equipment for inter-building communications.
No Automation	No court automation. Manual reporting of court information.	Court will receive cabling to the network border router, and a PC workstation used to submit data to the CIDC.

Appendix B — Figures

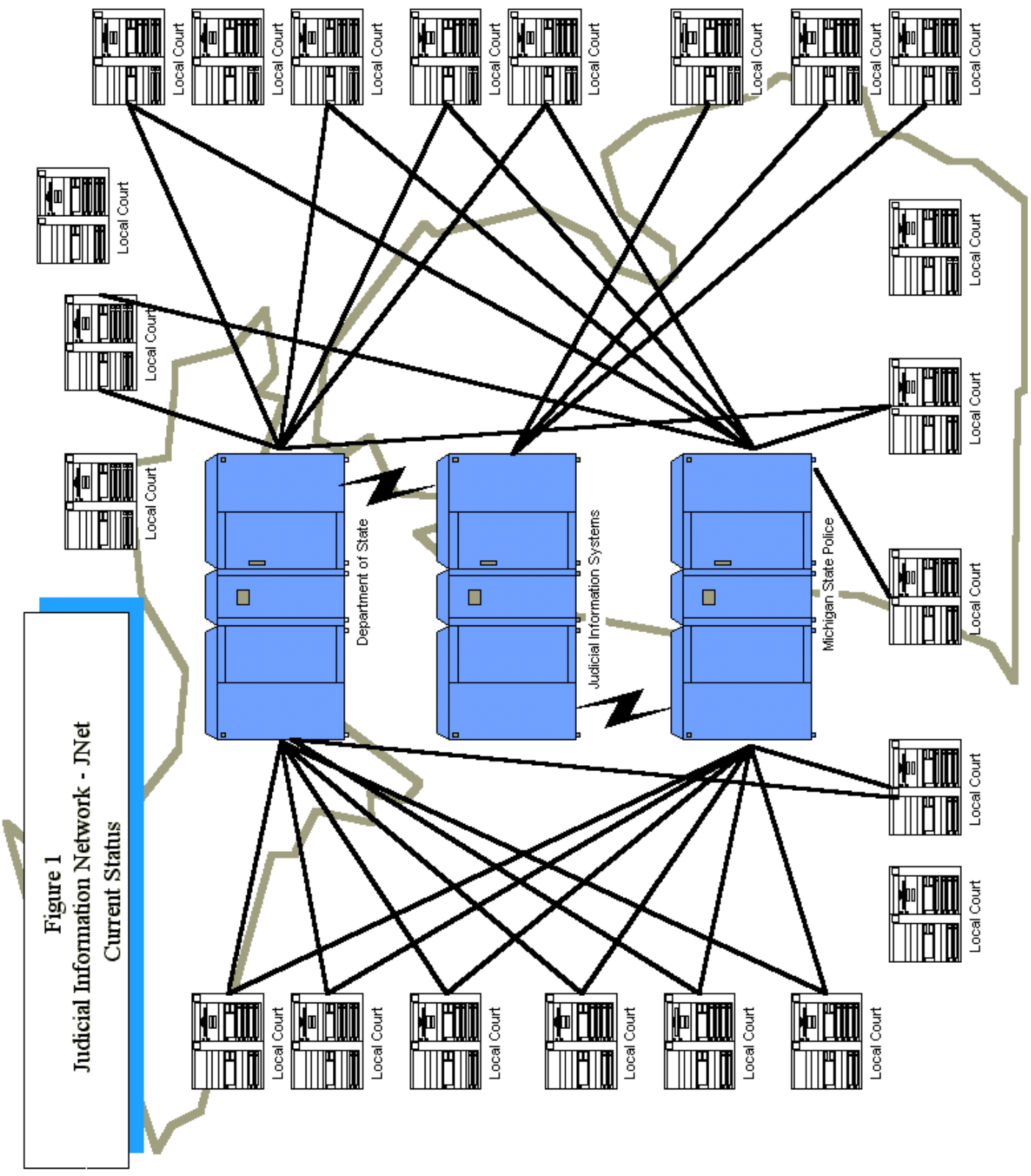


Figure 1
Judicial Information Network - JNet
Current Status

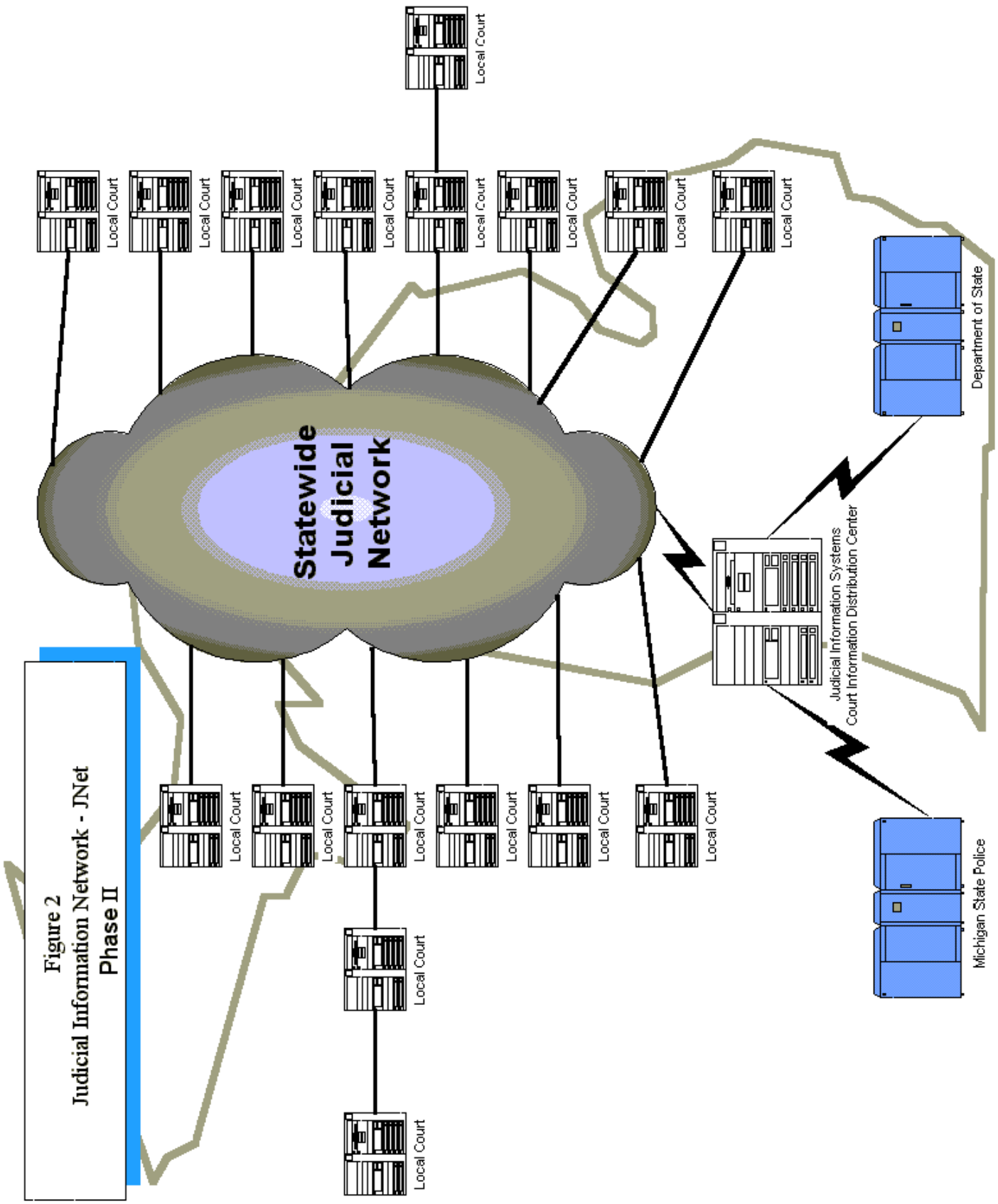


Figure 2
Judicial Information Network - JNet
Phase II

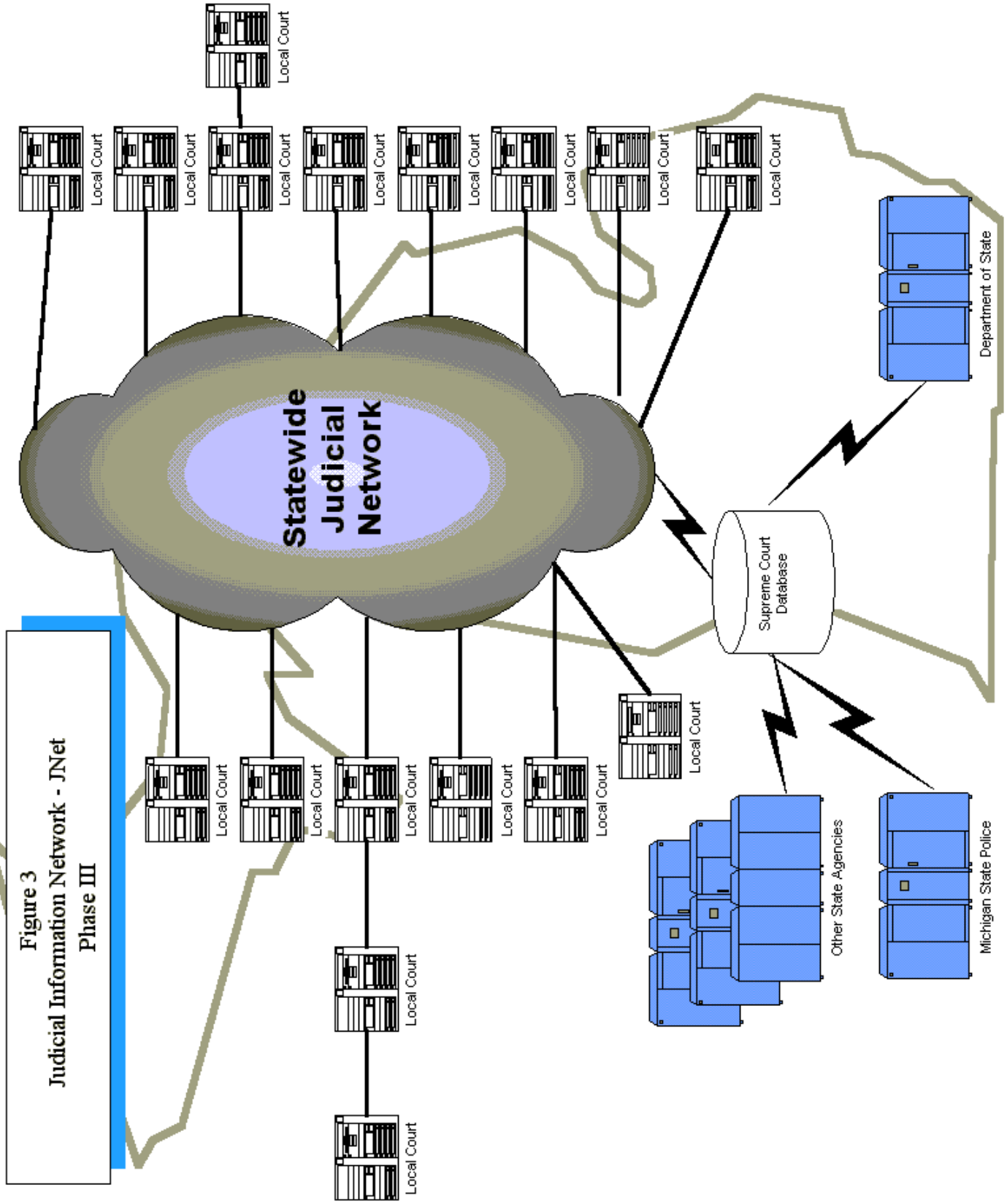


Figure 3
Judicial Information Network - JNet
Phase III
Statewide
Judicial
Network
Local Court
Supreme Court
Database
Department of State
Other State Agencies
Michigan State Police

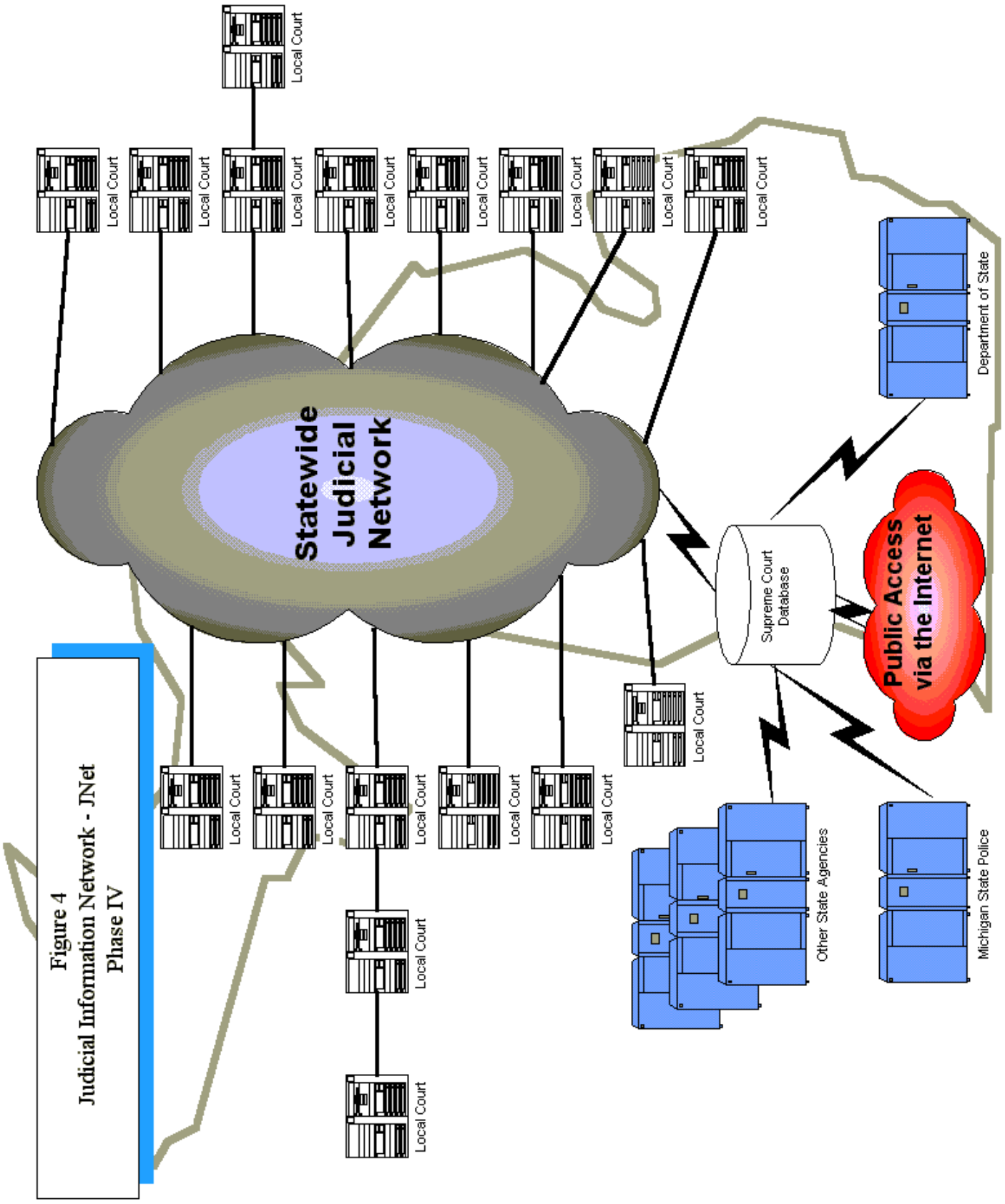


Figure 4
Judicial Information Network - JNet
Phase IV